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Guidelines for Personnel Decisions

Department of Chemistry

March 4, 2005

History of the “Guidelines”

A draft of guidelines for departmental decisions pertaining to reappointment, promotion and continuing appointment was first submitted to Michael A. Maggiotto, Dean of the School of Letters and Sciences, in January 2000. The Department revised this draft in March 2000 to incorporate the suggestions of Dean Maggiotto.

In November 2000, following a review of our revised guidelines by Dean Maggiotto and AVP/Provost Tim Flanagan, the Department revised the guidelines once again, this time in response to criticisms by Academic Vice President/Provost Flanagan.

The document became Departmental Policy, effective November 30, 2000, upon its final approval by the Dean of the School of Letters and Sciences, the Vice President for Academic Affairs and the President of the SUNY College at Brockport.

The guidelines for departmental decisions pertaining to reappointment, promotion and continuing appointment were adopted by the Department in draft form on January 26, 2000, adopted in revised form on March 24, 2000 and adopted in final form on November 30, 2000.

The guidelines for departmental review of faculty performance were added to the document in March 2005, subject to the criticism of the Dean of the School of Letters and Sciences, Stuart Appelle, and AVP/Provost Flanagan.

Reappointment, Promotion and Continuing Appointment

Review Procedures and Time Lines

The Department of Chemistry shall adhere to all policies and review procedures set forth in the document, “Revisions/Clarifications to Academic Policy/Practice of Department APT Committees,” prepared by Vice President for Academic Affairs Flanagan and approved by Academic Council on October 20, 1998, and in the document, “Procedural Requirements for Academic Personnel Decisions,” prepared by Deans’ Council on August 31, 2000 and endorsed by President Yu on September 20, 2000.

Timelines for the review procedure within any academic year are established and published by the Academic Vice President/Provost prior to the beginning of that academic year.

Reviews shall ordinarily be conducted:

- In the second year of the first three-year term appointment, for the purpose of deciding whether or not to recommend reappointment to a second three-year term;
- In the second year of the second three-year term appointment (the fifth year of continuous appointment), for the purpose deciding whether or not to recommend reappointment to a pre-tenure one-year term;

- In the third year of the second three-year term appointment (the sixth year of continuous appointment), for the purpose of deciding whether or not to recommend continuing appointment (tenure) and promotion to the rank of Associate Professor;
- Upon nomination of the individual for early promotion to the rank of Associate Professor at any time preceding the sixth year of continuous appointment.
- Upon nomination of the individual for promotion to the rank of Professor at any time following the award of continuing appointment and promotion to the rank of Associate Professor.

The departmental APT Committee shall conduct the review of the candidate. At the conclusion of its review, the APT Committee shall submit its recommendation regarding the particular personnel action to the Faculty and to the Chairperson of the Department of Chemistry.

The APT Committee shall then schedule a meeting of the Faculty, at which the Committee's recommendation is to be discussed. At the conclusion of this discussion, the Committee's chairperson shall call for, record, and report to the Department Chairperson the vote of the Faculty on the question, "Shall the recommendation of the APT Committee be endorsed by the Faculty?"

Finally, the Department Chairperson shall review both the candidate's dossier and the APT Committee recommendation and shall submit her/his recommendation, the APT Committee's recommendation, the results of the Faculty's vote "to endorse," and the candidate's dossier to the Dean of the School of Letters and Sciences.

The Candidate's Dossier

On or before the date set for the candidate's application for re-appointment, promotion or tenure by the Vice President for Academic Affairs, the candidate shall present to the Departmental APT Committee a dossier containing her/his annual reports, including the chairperson's response, for all years preceding the personnel action. These annual reports shall be prefaced by a brief, introspective statement by the candidate that serves to highlight her/his achievements in "teaching," "scholarship" and "service" during the review period. The annual reports shall be followed by separate sections in which the candidate's performance in "teaching," "scholarship" and "service" over the entire review period is summarized. The candidate is referred to the document, "Guidelines for Faculty Appointment Renewal, Tenure (Continuing Appointment), Promotion, and Performance at Rank," published annually prior to the beginning of the academic year by the Office of the Vice President for Academic Affairs, for guidelines regarding the construction of these sections, including those items which are required to be present in each section.

The candidate's statement, annual reports, and summaries of her/his performance in teaching, scholarship and service for the review period shall be accompanied by documentation supporting all claims made by the candidate.

The complete dossier supplied by the candidate shall guide the reviews of the candidate by the APT Committee, by the Department, and by the chairperson. The complete dossier also constitutes the evidence upon which decisions are made at each step in the review procedure.

Although the candidate must include in her/his dossier the results of surveys of teaching performance such as the IAS for a representative sample of her/his classes, effectiveness as a teacher will not be judged on the basis of these student survey results alone. The APT Committee shall conduct classroom visitations, independent oral and written surveys of opinion of samples of past students, solicit the opinions of colleagues, and evaluate all indicators of effectiveness. The

results of such Committee activities are not to be considered as part of the candidate's dossier, but as part of the Committee's report and recommendation.

The APT Committee may solicit the opinion of the candidate's scholarship from external reviewers during their evaluation of the candidate's performance in scholarship. The written opinions of external reviewers shall also become part of the Committee's report and recommendation and are not a part of the candidate's dossier.

Supplemental statements or items of supporting documentation may be added to this dossier by the candidate, by the APT Committee, or by the Department Chairperson up to the time the dossier and chairperson's letter of recommendation are submitted to the Dean of the School of Letters and Sciences.

Weighting of Activities and Accomplishments in Teaching, Scholarship and Service

According to the Mission Statement of the Department of Chemistry, we have the success of our students as our highest priority. Therefore, the candidate's effectiveness as a teacher shall be weighted as 50% in the review of the candidate and the formation of the recommendation of the departmental APT Committee and Chairperson with regard to reappointment, promotion to Associate Professor, the award of continuing appointment, or promotion to Professor.

In Accordance with College policy, scholarship will be weighted more heavily than service.

First Term Reappointment

At the beginning of her/his second year of service to the College, the Departmental APT Committee shall initiate a formal review of the candidate, the purpose of which is to decide whether or not to recommend the candidate for reappointment to a second three-year term.

The candidate should view any written criticisms offered by the APT Committee or by the Department Chairperson at the conclusion of the review as being advisory in nature---i.e., as constructive criticisms. The candidate should work to strengthen areas of performance that the committee and/or chairperson view as being weak prior to the review conducted preceding her/his second term reappointment.

The following activities and accomplishments are required, but are not by themselves sufficient, for receipt of favorable recommendations for reappointment at the departmental level.

Teaching: the candidate must demonstrate competence as a teacher and exhibit the potential to develop mastery of her/his role as a teacher. The candidate must

- Demonstrate the ability to develop instructional materials, present lectures, prepare examinations, and evaluate student performance in a manner appropriate to the level of the courses to which he/she was assigned.
- Demonstrate the potential for developing into an effective teacher, as indicated by grade distributions and the results of surveys of student opinion of teaching performance such as the IAS
- Demonstrate the ability to respond in a positive, constructive fashion to differences in students' learning styles, to relate well to individual student concerns, and to deal effectively with individual student needs.
- Demonstrate a real concern for the long-range educational needs of the student.

Scholarship: the candidate must demonstrate that he/she has the potential to conduct her/his scholarship at a level sufficient to earn continuing appointment and promotion to the rank of Associate Professor. The candidate must

- Initiate an active research program within the department. It is a necessary condition that this research program actively engages students. Such engagement may consist of direction of independent study projects for academic credit, direction of the research of work study students who work for pay, direction of the research of students registered in the McNair Program, and/or direction of the research of students who have been awarded departmental research fellowships. The candidate must provide a written rationale stating that the student engagement is directed toward production of a peer-reviewed product, or such engagement may be viewed either as “teaching” or “service.”
- Show evidence of the intention to seek external support, such as contracts, grants, scholarships, fellowships and/or supported visiting scholar status at other institutions.
- Show evidence of the intention to seek internal support, such as scholarly incentive grants or other institutional awards, provided such support is available.

Service: the candidate must have been an active participant in the governance of the Department. He/she must

- Participate in meetings, initiatives and activities of the department as a whole.
- Begin to establish a record of departmental service, as evidenced by such things as serving on departmental standing committees or ad hoc committees or by serving as Advisement Coordinator, Coordinator of Computing Facilities, Library Acquisitions Coordinator, Safety Coordinator, or advisor to the Chemistry Club.
- Serve as an academic advisor to students at the direction of the department chairperson.

Second Term Reappointment

At the beginning of her/his fifth year of service to the College, the Departmental APT Committee shall initiate a formal review of the candidate, the purpose of which is to decide whether or not to recommend the candidate for reappointment to a one-year pre-tenure term.

Since this review precedes by only one year the departmental review of the candidate for continuing appointment, it is most important that the candidate view any written criticisms offered by the APT Committee or by the Department Chairperson at the conclusion of the review as being strongly advisory in nature. The candidate must work diligently to strengthen areas of her/his dossier that the committee and/or chairperson have identified as being weak prior to the review conducted in the next year for continuing appointment.

The following activities and accomplishments are required, but are not by themselves sufficient, for receipt of favorable recommendations for reappointment at the departmental level.

Teaching: the candidate must demonstrate competence as a teacher and display increasing mastery of her/his role as a teacher. The candidate must

- Demonstrate the ability to develop instructional materials, present lectures, prepare examinations,

and evaluate student performance in a manner appropriate to the level of the courses to which he/she was assigned.

- Demonstrate the willingness and ability to revise and/or modernize course content in response to real intellectual or curricular needs.
- Demonstrate effectiveness as a teacher, as indicated by grade distributions and the results of surveys of student opinion of teaching performance such as the IAS.
- Demonstrate the ability to respond in a positive, constructive fashion to differences in students' learning style, to relate well to individual student concerns, and to deal effectively with individual student needs.
- Demonstrate a real concern for the long-range educational needs of the student.

Scholarship: the candidate must demonstrate significant advancement in the area of scholarship beyond presentation of her/his dissertation results. The candidate must

- Maintain an active research program within the department. It is a necessary condition that this research program actively engages students. Such engagement may consist of direction of independent study projects for academic credit, direction of the research of work study students who work for pay, direction of the research of students registered in the McNair Program, and/or direction of the research of students who have been awarded departmental research fellowships. The candidate must provide a written rationale stating that the student engagement is directed toward production of a peer-reviewed product, or such engagement may be viewed as either "teaching" or "service."
- Present on a regular basis interim reports and/or final reports of scholarly activity. Such presentations may be at the local, regional or National level. Recognition of student co-authors is encouraged, as are presentations by student co-authors at appropriate student symposia.
- Make substantial progress toward publication of the results of scholarly activities that were initiated and completed by the candidate during the first and second term appointments. Publications must appear in the refereed scientific literature. If the candidate's scholarly activities result in products that have not undergone peer review during the acceptance process, the APT Committee and/or the candidate must seek and provide external peer review of these products.
- Establish a record of seeking external support for one's scholarly activities, as evidenced by applications for contracts, grants, scholarships, fellowships and/or supported visiting scholar status at other institutions.
- Establish a record of seeking internal support for one's scholarly activities, as evidenced by applications for and receipt of a scholarly incentive grant or other institutional award, provided such support has been available.

Service: the candidate must demonstrate competence in the area of service to the Department. The candidate must

- Participate in meetings, initiatives and activities of the department as a whole.
- Establish a record of departmental service, as evidenced by such things as serving on departmental standing committees or ad hoc committees or by serving as Advisement Coordinator, Coordinator of Computing Facilities, Library Acquisitions Coordinator, Safety Coordinator, or advisor to the

Chemistry Club.

- Serve as an academic advisor to students at the direction of the department chairperson.

Continuing Appointment and/or Promotion to the Rank of Associate Professor

At the beginning of her/his sixth year of service to the College, the Departmental APT Committee shall initiate a formal review of the candidate, the purpose of which is to decide whether or not to recommend the candidate for continuing appointment and promotion to the rank of Associate Professor.

A faculty member may request that he/she be reviewed for promotion to the rank of Associate Professor prior to the beginning of the sixth year. This request must be made before the beginning of the spring term of the year in which the review is to be conducted such that the departmental APT Committee will have ample time to conduct a review of the candidate's effectiveness as a teacher.

The following activities and accomplishments are required, but are not by themselves sufficient, for receipt of favorable recommendations for continuing appointment and/or promotion to the rank of Associate Professor at the departmental level.

Teaching: the candidate must demonstrate mastery of her/his role as a teacher. The candidate must

- Demonstrate the ability to develop instructional materials, present lectures, prepare examinations, and evaluate student performance in a manner appropriate to the level of the courses to which he/she was assigned.
- Demonstrate the willingness and ability to revise and/or modernize course content in response to real intellectual or curricular needs.
- Demonstrate effectiveness as a teacher, as indicated by grade distributions and the results of surveys of student opinion of teaching performance such as the IAS.
- Demonstrate the ability to respond in a positive, constructive fashion to differences in students' learning style, to relate well to individual student concerns, and to deal effectively with individual student needs.
- Demonstrate a real concern for the long-range educational needs of the student.

Scholarship: the candidate must demonstrate significant advancement in the area of scholarship beyond the level of Assistant Professor and the level of presentation of her/his doctoral dissertation. The candidate must

- Maintain an active research program within the department. It is a necessary condition that this research program actively engages students. Such engagement may consist of direction of independent study projects for academic credit, direction of the research of work study students who work for pay, direction of the research of students registered in the McNair Program, and/or direction of the research of students who have been awarded departmental research fellowships. The candidate must provide a written rationale stating that the student engagement is directed toward a peer-reviewed product, or such engagement may be viewed either as "teaching" or "service."

- Present on a regular basis interim reports and/or final reports of scholarly activity. Such presentations may be at the local, regional or National level. Recognition of student co-authors is encouraged, as are presentations by student co-authors at appropriate student symposia.
- Publish the results of scholarly activities and show promise for continued activity as a productive scholar. Publications must appear in the refereed scientific literature. If the candidate's scholarly activities result in products that have not undergone peer review during the acceptance process, the APT Committee and/or the candidate must seek and provide external peer review of these products. The candidate must have authored or co-authored at least four publications appearing in the refereed scientific literature during her/his career to receive a favorable recommendation for continuing appointment at the departmental level. At least two of these publications must be the result of scholarly activities initiated since the candidate's initial appointment at SUNY Brockport. Furthermore, the candidate should be a senior author on at least one of these two publications.
- Establish a record of seeking external support for one's scholarly activities, as evidenced by applications for contracts, grants, scholarships, fellowships and/or supported visiting scholar status at other institutions.
- Establish a record of seeking and obtaining internal support for one's scholarly activities, as evidenced by application for and receipt of a scholarly incentive grant or other institutional award, provided such support has been available.

Service: the candidate must demonstrate excellence in the area of service to the Department. The candidate should also have expanded her/his service roles to include service to the Campus, Community or Profession. The candidate must

- Participate in meetings, initiatives and activities of the department as a whole.
- Establish a record of departmental service, as evidenced by such things as serving on departmental standing committees or ad hoc committees or by serving as Advisement Coordinator, Coordinator of Computing Facilities, Library Acquisitions Coordinator, Safety Coordinator, or advisor to the Chemistry Club.
- Serve as an academic advisor to students at the direction of the department chairperson.

Promotion to the Rank of Professor

Upon receipt of a nomination for promotion to Professor, and with the consent of the nominee, the Departmental APT Committee shall initiate a formal review of the nominee, the purpose of which is to decide whether or not to recommend the nominee for promotion to Professor.

The following activities and accomplishments are required, but are not by themselves sufficient, for receipt of a favorable recommendation for promotion to the rank of Professor at the departmental level.

Teaching: the candidate must demonstrate excellence as a teacher and leadership in course development or curriculum design. The candidate must

- Demonstrate the ability to develop instructional materials, present lectures, prepare examinations, and evaluate student performance in a manner appropriate to the level of the courses to which he/she was assigned.
- Demonstrate a leadership role in revising and/or modernizing course content in response to real intellectual or curricular needs.

- Demonstrate effectiveness as a teacher, as indicated by grade distributions and the results of surveys of student opinion of teaching performance such as the IAS.
- Demonstrate the ability to respond in a positive, constructive fashion to differences in students' learning style, to relate well to individual student concerns, and to deal effectively with individual student needs.
- Demonstrate a real concern for the long-range educational needs of the student.

Scholarship: the candidate must demonstrate significant advancement in the area of scholarship beyond the level of Associate Professor. The candidate must

- Maintain an active research program within the department. This research program should continue to actively engage students. Such engagement may consist of direction of independent study projects for academic credit, direction of the research of work study students who work for pay, direction of the research of students registered in the McNair Program, and/or direction of the research of students who have been awarded departmental research fellowships. The candidate must provide a written rationale stating that the student engagement is directed toward a peer-reviewed product, or such engagement may be viewed either as “teaching” or “service.”
- Present on a regular basis interim reports and/or final reports of scholarly activity. Such presentations may be at the local, regional or National level. Recognition of student co-authors is encouraged, as are presentations by student co-authors at appropriate student symposia.
- Publish a significant body of work in the area of one's scholarship as judged by the departmental APT Committee and at least two external evaluators who are actively engaged in scholarship related to that of the candidate. Publications must appear in the refereed scientific literature. If the candidate's scholarly activities result in products that have not undergone peer review during the acceptance process, the APT Committee and/or the candidate must seek and provide external peer review of these products. The candidate must have authored or co-authored **at** least four publications in the refereed scientific literature after promotion to the rank of Associate Professor, depending on the extent and quality of the scholarship, to receive a favorable recommendation for promotion to the rank of Professor at the departmental level.
- Have success in obtaining external support for one's scholarly activities, as evidenced by receipt of contracts, grants, scholarships, fellowships, supported visiting scholar status at another institution, or a sabbatical leave at an institution of stature at least equivalent to that of the College at Brockport.
- Have success in obtaining internal support for one's scholarly activities, as evidenced by receipt of a scholarly incentive grant or other institutional award, provided such support has been available.

Service: the candidate must demonstrate leadership in her/his service to the Department, the College and the Profession. The candidate must

- Participate in meetings, initiatives and activities of the department as a whole.
- Establish a record of departmental service, as evidenced by such things as serving on departmental standing committees or ad hoc committees, or by serving as Advisement Coordinator, Coordinator of Computing Facilities, Library Acquisitions Coordinator, Safety Coordinator, or advisor to the Chemistry Club.

- Serve as an academic advisor to students at the direction of the department chairperson.
- Establish a record of service and a leadership role within campus-wide committees, within the Faculty/Staff Senate and its standing committees, or within appropriate professional organizations.
- Establish a substantial record of leadership within the department, as evidenced by acting as Chairperson of the Department of Chemistry, chairperson of departmental standing committees, Advisement Coordinator, Computing Facilities Coordinator, or Library Acquisitions Coordinator.

Annual Review of Faculty Performance

Performance Review Procedures

The Department's annual review of faculty performance shall be based on the Annual Report filed by each member of the faculty with the Department Chairperson at the conclusion of the academic year. It is the duty of the Department Chairperson to evaluate the performance of each faculty member in each of the three areas of service to the department, Teaching, Scholarship and Service, and to add her/his written commentary to the faculty member's Annual Report, prior to forwarding the completed Annual Report to the Dean of the School of Letters and Sciences. The commentary of the Chairperson shall include the chairperson's opinion as to whether or not that faculty member has performed at a level consistent with her/his academic rank and appointment status.

At the beginning of the following academic year, the Department Chairperson shall forward a copy of each faculty member's Annual Report for the past year to the chairperson of the Departmental APT Committee, who shall convene a meeting of this committee for the purpose of reviewing the report of the faculty member, the Chairperson's commentary, and the Chairperson's opinion regarding whether or not that faculty member's performance in each service area was appropriate to her/his rank and appointment status.

At the conclusion of the APT Committee review, the chairperson of the Committee shall report its opinion in writing to the faculty member and to the Department Chairperson regarding the faculty member's performance in each of the three service areas. If the APT Committee concurs with the Department Chairperson's opinion, this opinion shall become their joint opinion. If the APT Committee does not concur with the Department Chairperson's opinion, the APT Committee shall meet with the Department Chairperson and the concerned faculty member to resolve differences in the evaluation of that faculty member. The APT Committee's opinion following this meeting shall be considered the final evaluation of that faculty member for that year.

The opinions of the Department Chairperson and of the Departmental APT Committee regarding a faculty member's "performance at rank" shall be considered "advisory" to untenured members of the faculty as they prepare for future reappointment, "tenure" and promotion reviews. However, these opinions may have direct consequences to a "tenured" member of the faculty in terms of the teaching and service obligations assigned to that faculty member. Consistent failure of "tenured" faculty members to perform at a level appropriate to their rank may result in

- Being assigned to complete a program designed to increase their teaching effectiveness if their performance in "Teaching" is at issue.
- Being assigned additional Departmental or College service obligations if their performance in "Service" is at issue.
- Being assigned additional Departmental or College service obligations, and/or being assigned a more extensive teaching load, if they have failed to maintain an active program of scholarship.

Definition of “Performance Appropriate to Rank and Appointment Status”

Judging whether or not an untenured faculty member’s performance in each of the service areas, Teaching, Scholarship and Service, has been appropriate to her/his rank and appointment status should be a relatively simple task. The only question that need be answered is, “has the faculty member made adequate progress towards fulfilling the criteria for a favorable reappointment recommendation or tenure and promotion recommendation from her/his department?” If that faculty member has made adequate progress, then she/he is, by definition, “performing at rank” as far as the Department is concerned!

The question to be asked in the case of a tenured member of the faculty is more complex. It is important that a faculty member be successful in her/his teaching, scholarship and service throughout her/his career, and not just until she/he has been awarded tenure and promotion. However, after the faculty member has been awarded continuing appointment, she/he will almost certainly be called upon to carry an increased service responsibility and perhaps even more diverse and demanding teaching responsibilities. Therefore

- Tenured members of the faculty must demonstrate annually to the satisfaction of the Chairperson and Departmental APT Committee that their *overall performance* continues to be at a level appropriate for a tenured member of the faculty.
- The departmental criteria for performance in Teaching and Service listed as criteria for continuing appointment are to be used as the standards for “performance appropriate to rank.”
- Relative weakness in any one area is accepted if the tenured faculty member has assumed a greater share of the departmental load in other areas, provided her/his level of performance is at least “acceptable” in the area of relative weakness.
- Being judged as performing at an “acceptable” level in any one area should not preclude the faculty member from being considered for the award of a discretionary salary increase for excellence in performance in another area.

Since one’s scholarly activities may result in more concrete forms of recognition (i.e., external grants and contracts, publications in peer-reviewed literature, or presentations at local or National meetings) only after a number of years of continuous effort, performance at an “acceptable” level in the area of Scholarship should be judged by evaluating the tenured faculty member’s annual efforts at maintaining an “active program of scholarship.” Activities of the faculty member that would allow the Department Chairperson and the Departmental APT Committee to judge her/his scholarly activities as “an active program of scholarship” include

- Being involved personally in research that should lead to future presentations at local and National conferences or publications in peer-reviewed journals.
- Involving students in her/his research, either during the academic year or during the summer.
- Helping student research associates prepare presentations of their work at local and National undergraduate research symposia.
- Preparing manuscripts for publication in the peer-reviewed scientific literature.
- Preparing internal and external grant applications or negotiating external contracts to support research.

Research activities involving students, in particular, support directly the Mission of the Department of Chemistry and should be given special consideration.

The “Normal” Expectation of Teaching Load

The final report of the Faculty Roles and Rewards Committee (including amendments as approved by the Faculty Senate December 7, 1998) states that

- "The normal expectation is a 3/3 course load or its equivalent for faculty demonstrating an active program of scholarship...and/or with major or multiple service responsibilities." In practice, only unusually demanding "service responsibilities" will meet this expectation in the absence of an active program of scholarship.
- "Faculty who do not demonstrate an active program of scholarship [should] contribute more in the areas of teaching and/or service." In practice, this alternative contribution will generally be in the area of teaching.

We interpret the “3/3 course load” to mean nine contact hours per week per semester, either in lecture, laboratory, or a mixture of the two. We feel strongly that the demands placed on a faculty member by a three-hour laboratory period are equivalent to those of three hours of lecture, even though the number of credit hours awarded for the two are quite different.

We also consider the “3/3 course load” to be central to all assumptions contained in this document regarding the ability of any normally diligent faculty member, either untenured or tenured, to perform “at rank!”

Adopted, March 4, 2005